

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
DEM1P006SERIAL NO.  
09/849,783LIST OF DOCUMENTS CITED BY APPLICANT  
TO COMPLY WITH 37 C.F.R. 1.56

APPLICANT

NEAL

FILING DATE  
05/05/2001GROUP  
3623

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
lwd	AA	6,697,824	02/24/04	Bowman-Amuah			
	AB	6,202,070	03/13/01	Nguyen et al.			
↓	AC	5,694,551	12/02/97	Doyle et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

lwd	BA	Scherage, Dan, "You Do the Math," Chain Store Age, v76, n7, July 2000.						
	BB	"Gymboree Enhances Price Management," Retail Systems Alert, Volume 13, Number 6, June 2000.						
↓	BC	Binkley, James K.; Connor, John M., "Grocery Market Pricing and the New Competitive Environment." Journal of Retailing, v74, n2, Summer 1998.						

EXAMINER

Beth Van Doren

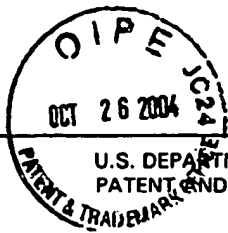
DATE CONSIDERED

11/20/05

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[illegible]





U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56	ATTY. DOCKET NO. <b>DEM1P006</b>	SERIAL NO. <b>09/849,783</b>
	APPLICANT <b>NEAL</b>	
	FILING DATE <b>05/05/2001</b>	GROUP <b>3623</b>

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

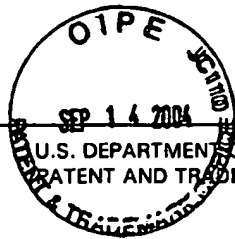
	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

lwd	AA	"Merriam Webster's Collegiate Dictionary", 10 <sup>th</sup> edition, pg 585, Merriam-Webster Incorporated, 1999.
↓	AB	Hernandez, Mauricio A., and Salvatore J. Stolfo, "Real-world Data is Dirty: Data Cleansing and the Merge/Purge Problem", Data Mining and Knowledge Discovery, Vol. 2, Issue 1, January 1998.

EXAMINER <i>Beth Van Doren</i>	DATE CONSIDERED <i>11/30/05</i>
-----------------------------------	------------------------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56	ATTY. DOCKET NO. <b>DEM1P006</b>	SERIAL NO. <b>09/849,783</b>
	APPLICANT <b>NEAL</b>	
	FILING DATE <b>05/05/2001</b>	GROUP <b>3623</b>

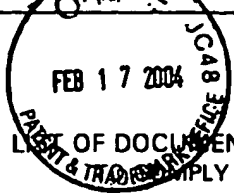
## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>dw</i>	AA	6,684,193	01/27/2004	Chavez et al.			
	AB	6,553,352	04/22/2003	Delurgio et al.			
<i>✓</i>	AC	6,044,357	03/28/2000	Garg			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER <i>Beth Van Dora</i>	DATE CONSIDERED <i>11/30/05</i>
-------------------------------	---------------------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. DEM1P006	SERIAL NO. 09/849,783
	APPLICANT NEAL			
	FILING DATE 05/05/2001		GROUP 3623	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
lwd	AA	6,456,986	09/24/2002	Boardman et al.			
	AB	6,397,193	05/28/2002	Walker et al.			
	AC	6,341,268	01/22/2002	Walker et al.			
	AD	6,134,534	10/17/2000	Walker et al.			
	AE	6,052,686	04/18/2000	Fernandez et al.			
	AF	5,933,813	08/03/1999	Teicher et al.			
	AG	5,790,643	08/04/1998	Gordon et al.			
✓	AH	5,765,143	06/09/1998	Sheldon et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

lwd	CA	"PCT International Search Report", Application Number PCT/US03/30488, mailed January 28, 2004.
	CB	Bruce G.S. Hardie et al., "Attribute-based Market Share Models: Methodological Development and Managerial Applications", University of Pennsylvania, Working Paper 98-009, pp. 1-48, 1998.
	CC	Rossi, Delorgio, & Kantor; "Making Sense of Scanner Data," Harvard Business Review, Reprint F00205, 2000.
	CD	"PacifiCorp IRP: Renewables Costs Must Drop 65% to be Competitive with Gas," dated December 8, 1995.
✓	CE	Robert J. Dolan, "How Do You Know When the Price is Right?", Harvard Business Review, September-October 1995, P. 4-11

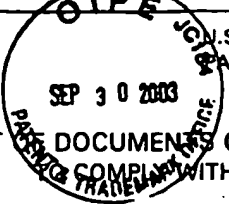
EXAMINER

Beth Van Doren

DATE CONSIDERED

11/30/05

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

 <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</p> <p>LIST OF DOCUMENTS CITED BY APPLICANT COMPLYING WITH 37 C.F.R. 1.56</p>	ATTY. DOCKET NO. <b>DEM1P006</b>	SERIAL NO. <b>09/849,783</b>
	APPLICANT <b>NEAL</b>	
	FILING DATE <b>5/5/01</b>	GROUP <b>3623</b>

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>lwd</i>	CA	"PCT International Search Report", Application Number PCT/US02/14977, mailed May 5, 2003.
<i>lwd</i>	CB	DYER, ROBERT F. et al., "Case Studies in Marketing Decisions Using Expert Choice," Decision Support Software, 1988, Pages 2-7, 73-108.

**RECEIVED**

OCT 02 2003

**GROUP 3600**

EXAMINER <i>Beth Van Doren</i>	DATE CONSIDERED <i>11/30/03</i>
--------------------------------	---------------------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
DEM1P006SERIAL NO.  
09/849,783DOCUMENTS CITED BY APPLICANT  
TO COMPLY WITH 37 C.F.R. 1.56

APPLICANT

NEAL

FILING DATE  
05/05/01GROUP  
3623

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
lud	AA	6,025,686	05/18/2000	Fernandez et al.			
lud	AB	6,173,345	01/09/2001	William A. Stevens			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	BA	WO 98/53415	11/26/1998	Ouimet et al.				

RECEIVED

SEP 05 2003

GROUP 3600

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

lud	CA		"PCT International Search Report", Application Number PCT/US02/36710, mailed July 21, 2003.					
lud	CB		YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only).					

EXAMINER

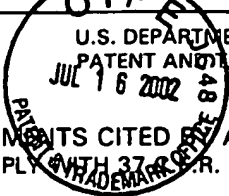
Beth Van Dora

DATE CONSIDERED

11/30/05

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



 <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</p> <p>LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56</p>	ATTY. DOCKET NO. DEM1P006	SERIAL NO. 09/849,783
	APPLICANT Neal et al.	
	FILING DATE 5/5/01	GROUP 3623 2161

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
lwd	AA	6,308,162	10/23/01	Ouimet et al.			

RECEIVED  
JUL 22 2002  
GROUP 3600

## FOREIGN PATENT DOCUMENTS

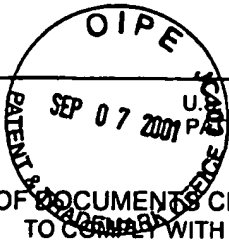
		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	BA	WO 98/53415	11/26/98	Ouimet et al.				

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

lwd	CA	Montgomery: "The Impact of Micro-Marketing on Pricing Strategies", 1994 The University of Chicago Vol. 55/12-A of Dissertation of Abstracts International, pg. 3922 (Abstract Only)
	CB	Busch: "Cost Modeling as a Technical Management Tool", Research-Technology Management, Nov/Dec 1994, vol. 37, no. 6, pgs 50-56
✓	CC	"Pacifcorp IRP: Renewables Costs Must Drop 65% to be Competitive with Gas"

EXAMINER Beth Van Doren	DATE CONSIDERED 11/30/05
----------------------------	-----------------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

LIST OF DOCUMENTS CITED BY APPLICANT  
TO COMPLY WITH 37 C.F.R. 1.56

ATTY. DOCKET NO.  
DEM1006

SERIAL NO.  
09/849,783

APPLICANT

Neal et al.

FILING DATE  
05/05/01

GROUP 3623  
~~Unassigned~~

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>lwd</i>	AA	6,205,431	03/20/01	Willemain et al.	705	10	
	AB	5,459,656	10/17/95	Fields et al.	364	401	
	AC	5,299,115	03/29/94	Fields et al.	364	401	
	AD	5,799,286	08/25/98	Morgan et al.	705	30	
<i>✓</i>	AE	5,732,401	03/24/98	Conway	705	29	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>lwd</i>	AI		"Report of Novelty Search" by Patentec, dated July 25, 2001

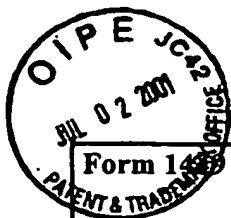
EXAMINER

*Beth VanDoren*

DATE CONSIDERED

*11/30/05*

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Form 1438 (Modified)	Atty Docket No. <b>DEM1P006</b>	Application No.: <b>09/849,783</b>
<b>Information Disclosure Statement By Applicant</b>	Applicant: <b>NEAL et al.</b>	
(Use Several Sheets if Necessary)	Filing Date <b>05/05/01</b>	Group <b>UNASSIGNED 3623</b>

#### U.S. Patent Documents

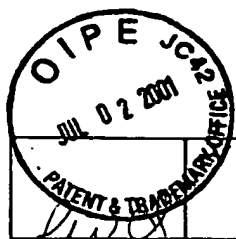
Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date
	A						
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						

#### Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
	J							
	K							
	L							
	M							
	N							

#### Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
<i>lwd</i>	O	Stephen J. Hoch et al., "Store Brands and Category Management", The Wharton School, University of Pennsylvania, March 1998, pp. 1-38
	P	Bruce G.S. Hardie et al., "Attribute-based Market Share Models: Methodological Development and Managerial Applications", The Wharton School, University of Pennsylvania, Working Paper 98-009, pp. 1-48
	Q	Alan Mercer, "Non-linear Price Effects", Journal of the Market Research Society, dated 7/1/96, p. 227
	R	Rockney G. Walters, "Assessing the Impact of Retail Price Promotions on Product Substitution, Complementary Purchase, and Interstore Sales Displacement", Journal of Marketing, Vol. 55, April 1991, pp. 17-28
	S	Robert C. Blattberg et al., "How Promotions Work", Marketing Science, Vol. 14, No. 3, Part 2 of 2, 1995, pp. G122-G132
	T	Peter M. Guadagni et al., "A Logit Model of Brand Choice Calibrated on Scanner Data", Marketing Science, Vol. 2, No. 3, Summer 1983, pp. 203-238
	U	Lee G. Cooper et al., "Standardizing Variables in Multiplicative Choice Models", Journal of Consumer Research, Vol. 10, June 1983, pp. 96-108



		Eileen Bridges et al., "A High-Tech Product Market Share Model with Customer Expectations", Marketing Science, Vol. 14, No. 1, Winter 1995, pp. 61-81
	W	Richard R. Batsell, et al., "A New Class of Market Share Models", Marketing Science, Vol. 4, No. 3, Summer 1985, pp. 177-198
	X	Jagmohan S. Raju, "The Effect of Price Promotions on Variability in Product Category Sales", Marketing Science, Vol. 11, No. 3, Summer 1992, pp. 207-220
	Y	Robert J. Dolan, "How Do You Know When the Price Is Right?", Harvard Business Review, September-October 1995, pp. 5-11
	Z	Fusun Gonul, "Modeling Multiple Sources of Heterogeneity in Multinomial Logit Models: Methodological and Managerial Issues", Marketing Science, Vol. 12, No. 3, Summer 1993, pp. 213-229
	AA	Robert M. Schindler et al., "Increased Consumer Sales Response through Use of 99-Ending Prices", Journal of Retailing, 6/1/96, p. 187
	BB	Francis J. Mulhern et al., "The Relationship between Retail Price Promotions and Regular Price Purchases", Journal of Marketing, Vol. 59, October 1995, pp. 83-90
	CC	John Deighton et al., "The Effects of Advertising on Brand Switching and Repeat Purchasing", Journal of Marketing Research, Vol. XXXI, February 1994, pp. 28-43
	DD	Sunil Gupta, "Reflections on 'Impact of Sales Promotions on When, What, and How Much to Buy'", Journal of Marketing Research, Vol. XXX, November 1993, pp. 522-24
	EE	Richard A. Briesch, "Does It Matter How Price Promotions Are Operationalized?", Marketing Letters 8:2 (1997), pp. 167-181
	FF	Byung-Do Kim et al., "Modeling the Distribution of Price Sensitivity and Implications for Optimal Retail Pricing", Journal of Business & Economic Statistics, July 1995, Vol. 13, No. 3
	GG	William R. Dillon et al., "A Segment-level Model of Category Volume and Brand Choice", Marketing Science, Vol. 15, No. 1, 1996, pp. 38-59
	HH	Stephen J. Hoch et al., "Determinants of Store-Level Price Elasticity", Journal of Marketing Research, Vol. XXXII (February 1995), pp. 17-29
	II	Magid M. Abraham et al., "An Implemented System for Improving Promotion Productivity Using Store Scanner Data", Marketing Science, Vol. 12, No. 3, Summer 1993
✓	JJ	Peter S. Fader et al., "Modeling Consumer Choice among SKUs", Journal of Marketing Research, Vol. XXXIII (November 1996), pp. 442-452
Examiner <i>Beth Van Doren</i>		Date Considered <i>11/30/05</i>

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.